

DISPOSITION PROCEDURES

A. General. The OSD Records Management Program is designed to preserve records of continuing value; systematically eliminate all other records; and remove less active current records from office space to lower cost storage space (see Figure 6-1) . This ensures preservation of permanent records, and reduces the cost and effort of **recordkeeping**. To achieve these objectives, standard procedures have been established for the disposition of all OSD records.

B. Source of Retention Periods. Retention periods for categories of OSD files are published in the disposition instructions in **enclosure** 4. Retention periods cited therein have been established in accordance with records management regulations approved by the Archivist of the United States either upon specific application (see SF **115**, Fig. 6-2) or through the General Records Schedules. Recommendations for changes to retention periods and disposition procedures **shall** be submitted to the OSD Records Administrator for approval.

C. Changes to Retention Periods. Retention periods are changed as a result of the continuing evaluation of files and changes in statutory, legal, financial, and administrative requirements. Changes are applied in accordance with the general rules in subsection C.1 and 2., below.

1. Increased Retention Period. If the change increases the retention period, the new retention period shall be applied . to all categories of files concerned, regardless of where they are maintained or when they were created. Those inactive and cutoff files affected by the change shall be brought under the new retention period.

2. Reduced Retention Period. If the change reduces the retention period, such period shall be applied retroactively, unless it is impractical or uneconomical. For example, if the new retention period can be applied to inactive files only by **screening** files and marking folders on an individual basis, it would normally be more economical to retain the files for the longer period than to attempt to apply the change.

D. Disposition Instruction. The disposition instructions in enclosure 4 provide the overall retention period for the files involved (for example, destroy after 2 years, destroy after 10 years, retire 3 years after cutoff). The disposal period begins at the date the file is cut off, unless otherwise indicated. The periods or retention normally shall be accomplished as shown in subsection D. 1. through 4., below. Examples of specific

instructions containing exceptions to the general time periods and events are: "Destroy when registrant becomes 36 years of age; withdraw and destroy on departure of the individual; destroy when superseded; destroy after next **survey**." Following are examples of how disposition instructions are to read on file labels maintained on a calendar basis:

1. Files with 1-Month Retention. Files having a retention period of **1** month or 30 days shall be cut off at the end of the month, held **1** month in current files area, and then destroyed. Example: COFF April 30, 1982, **DEST**, June 1982.

2. Files with 3-Month Retention. Files having a retention period of 3 months or 90 days shall be cut off at the end of each quarter, held 3 months in the current files area and then destroyed. Example: **COFF June** 30, 1983, **DEST Oct** 1983.

3. Files with 1-Year Retention. Files having a retention period of 1 year shall be cut off at the end of the calendar or fiscal year held in the current files area, and then destroyed. Example:

Calendar year file: COFF Dec 31, **1985**, DEST Jan 1987
Fiscal year file: **COFF** Sept 30, 1983, DEST Ott 1984

4. Files of **2 to 10**-Year Retention. Files having retention period of 2 to **10** years shall be cut off at the end of the calendar or fiscal year; held 1 year after cutoff in the current files area; and destroyed or retired as provided by the schedules in enclosure 4.

E. Disposition Procedures. OSD components shall:

1. Retire records designated for annual retirement on a calendar or **fiscal** year basis to the appropriate Federal Records Center. Mark these files as follows:

a. Calendar year file - **COFF** Dec **31**, 1980, Transfer to the **WNRC** Jan 1981, DEST Jan 1982.

b. Fiscal year file - **COFF** Sep 30, 1981, Transfer **WNRC** Ott 1982, DEST Ott 1983.

2. Withdraw from the active file and destroy documents that are disposable upon an event or action and are superseded or obsolete. Examples:

a. Destroy on supersession or obsolescence.

b. Destroy on completion of posting to the proper form .

3. Terminate files that are disposable after a specific retention period following an event or an action, such as audit, final payment, or completion of a project, on the occurrence of the event or accomplishment of the action. Terminate such files by withdrawing them from the active file and placing them in an inactive file, or in the case of large volumes, simply by discontinuing further **filing** within the files. Cutoff inactive or terminated files and effect disposition in the same manner as for other files with the same retention period.

4. Unless **otherwise** specified in the disposition instructions, cutoff permanent files at the end of the calendar or fiscal **year**. **Start** new folders for the new year, and place the old folder in the rear of the file drawer.

F. Retirement of Classified Files. When TOP SECRET files become eligible for retirement, the OSD Components shall:

1. CONFIDENTIAL and SECRET Files. **Observe** security requirements of DoD 5200. 1-R (reference (h)) when retiring CONFIDENTIAL and SECRET files to the **WNRC**. Packaging and shipping instructions for classified files are contained in enclosure 8 of this Instruction.

2. TOP SECRET Files.

a. Take necessary action to ensure that all TOP SECRET documents eligible for retirement are reviewed for regrading or declassification as required by paragraphs 3 and 4 of Section 4, - **Chapter** III, DoD 5200. 1-R (reference (h)) .

b. Retire TOP SECRET documents eligible for retirement as specified in enclosure 4 and transfer them to the **WNRC** under a separate accession number. Ensure that TOP SECRET documents are not included in accessions that are retired under an accession number identified as SECRET or below; to do so constitutes a security violation since special storage arrangements are made at the WNRC for TOP SECRET documents.

c. Cross-reference regraded or declassified TOP SECRET documents that formed a part of the files that have already been retired and sent to the Records Center. Make an entry on the SF 135 transmitting the documents to retirement. On the Records Transmittal **and** Receipt form show the designation of the organization and administrative subdivision, the file number and title of the file, and the accession shipment number **assigned** by the OSD Records Administrator.

d. Staffs of organizations slated for discontinuance shall, prior to discontinuance, review all TOP SECRET documents for downgrading or declassification before shipping records to the **WNRC**.

3. Since the WNRC is not cleared to provide storage for classified Sensitive Intelligence (SI) documents, such documents must be retained in the office of record or returned to the originating office.

G. Transfer of Files. The transfer of the files from one organization to another is permitted only when a transfer of functions from one Component to another requires the transfer of the files. The order directing the transfer of functions shall provide for the transfer of files. Records transmittal **procedures as outlined** in **enclosure 8** to this Instruction shall be accomplished to document properly the files transfer.

H. Transfer to Other Government Agencies

1. Transfer to National Archives. The policy of the OSD is to transfer all permanent files to the WNRC at periodic intervals so that they may be incorporated into the permanent archives of the Government of the United States. Arrangement for the transfer of the files and the establishment of policies for their use are the responsibility of the OSD Records Administrator. This is accomplished using SF 258 (see Fig. 6-3) .

2. Transfer to Other Agencies.

a. NARA regulations prohibit the transfer of files from one Government Agency to another without prior approval of the Archivist of the United States, except when:

(1) Records are retired to a NARA records center.

(2) The transfer of records or functions or both is **required** by-statute, Executive order, Presidential reorganization plan, or by specific determination made thereunder.

b. Authority to transfer OSD records to another Government Agency must be obtained from the OSD Records Administrator. Recommendations for transfer submitted for the OSD Records Administrator shall include a concise description of the files to be transferred; an estimate of the volume **in** linear feet; name and location of the agency to which the files are to be transferred; and the reasons for the transfer.

I. NATO Documents

1. AI No. 27 (reference (o)) contains control instructions for NATO documents and refers to applicable disposal authorities. NATO documents classified SECRET and below may be maintained with other OSD records when it is determined that they form an integral part of a file of classified records of permanent value.

2. Control and Disposal Procedures.

a. Classified document receipts, destruction **certificates**, and **registers** relating to NATO, COSMIC, TOP SECRET, and SECRET documents that reflect the final disposition of documents in a subregistry shall be disposed of in accordance with (AI 27, (reference (o))).

b. Document receipts, destruction certificates, and other control files relating to NATO or documents having a lower security classification than those indicated above shall be disposed of in accordance with enclosure 4.

J. Disposition of Files and Changes of Status.

1. Transfer of Functions. When a function is transferred from one OSD organization to another, the current files relating to the transferred function shall be transferred to the gaining organization, where they are maintained as a separate entity to preserve their administrative origin. Inactive (cutoff) files shall be transferred to the WNRC. A list of the files transferred to the gaining organization, and a copy of the SF 135 listing inactive files transferred to the WNRC shall be furnished to the Records Manager of the gaining organization.

2. Redesignation or Reorganization. On redesignation without transfer of function, files shall be continued and cut off in the same manner as though no change had occurred.

3. Discontinuance of an OSD Component. On discontinuance without transfer of functions, files not authorized for immediate disposal **shall** be retired to the designated records center. These procedures are equally applicable to any specially organized element such as a board, committee, council, or commission.

K. Disposition Standards. The OSD Records Administrator shall review recommendations for new or revised files disposition procedures or standards, and make recommendations for **final**

approval to the NARA.

L. The Records **Managers** for OSD **Components** shall:

1. Recommend to the OSD Records Administrator when necessary modification of **disposition procedures or schedules** in enclosure 4 explaining in detail why they should be changed.

2. Follow the format and writing style used in the descriptions and disposition instructions, in presenting recommendations relating to unidentified files, since the proposed standards may have OSD-wide application.

3. Recommend to **the** OSD Records Administrator establishment of disposition standards for files for which **no** instructions are **provided**. Include the following information:

a. Recommended series and/or file title.

b. A complete description of the file, including types of documents included therein.

c. Explain what the series documents: **Who**, where, when, why, and how an agency operates or what the agency does or produces.

d. Explain who creates the information used in the 'series, who **receives** the information, who uses it.

e. Explain what information is recorded in the series.

f. Is the series subject to legal, fiscal, or other - requirements? Explain.

g. Identify what retention period is required to satisfy your current business needs:

(1) Retain in the office for 1, 2, or 3 years and destroy.

(2) Retain as above and further temporary storage at the WNRC for 1, 2, 3, 5, or 7 years.

(3) Retain for the years specified above, then permanent retention at the NARA.

h. Explain the following:

(1) Physical form: paper, microfilm, other.

(2) Arrangement: numerical, chronological, geographical, organizational, alphabetical, subject, functional.

(3) Volume to **date in cubic** feet.

(4) Dates the **files cover**.

(5) Annual expected accumulation, in cubic feet.

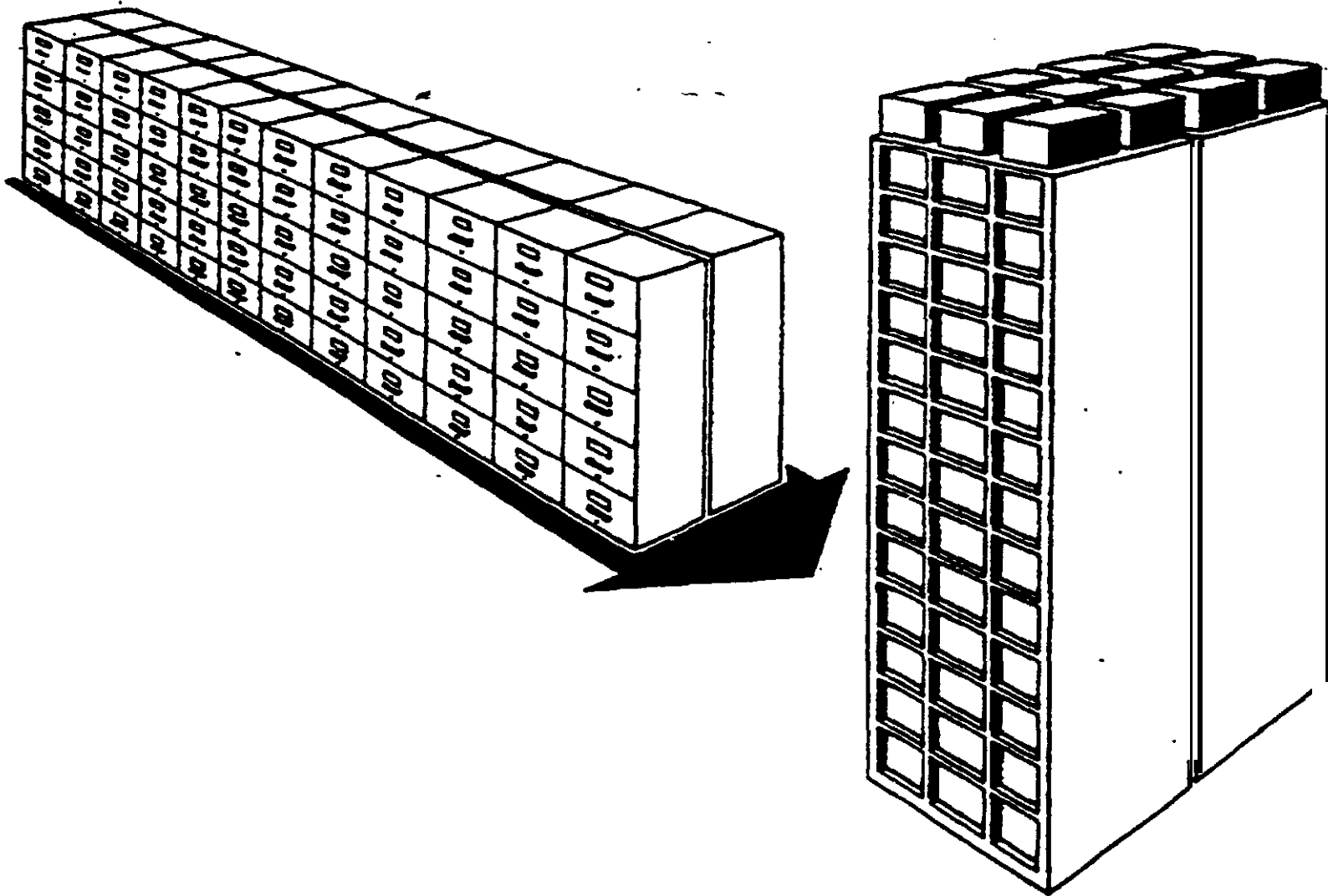
(6) Location of the records.

4. Complete SD Form 112 (obtain copies at the OSD Publications Counter, Room **3B960**) .

5. The OSD Records Administrator shall obtain **NARA** approval **to** make the **proposed** change. .

Records Housed in Office Facilities	
(Average Annual cost Per cubic Foot)	
168 cu. ft. of records occupy 168 sq. ft. of agency space	
Space and Maintenance\$22.04
*Filing Equipment.....?53
Total Cost\$22.57
*Amortized in 40 years	

How Centers Save Money on Space and Equipment*



Records Housed in Storage Facilities	
(Average Annual Cost Per Cubic Foot)	
168 cu. ft. of records occupy 30 sq. ft. of center space	
Space and Maintenance\$1.45
*Filing Equipment14
Total Cost\$1.59
*Amortized in 40 years	

**SAVES
\$20.98**

FY 1993

Figure 7-1

How Centers Save **Money** on Space and Equipment

REQUEST FOR RECORDS DISPOSITION AUTHORITY. (See Instructions on reverse)		LEAVE BLANK (NARA us. only) JOB NUMBER NI - 330 - 93 - 1	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED 10 - 23 - 92	
1. FROM (Agency or establishment) Department of Defense		NOTIFICATION TO AGENCY In accordance with the provisions of U.S.C. §303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Office of the Secretary of Defense			
3. MINOR SUBDIVISION WHS, Records Management Division -			
4. NAME OF PERSON WITH WHOM TO CONFER J. Eakins Bromide	5. TELEPHONE 703-695-0970	DATE 3/23/92	ARCHIVIST OF THE UNITED STATES Oyle B. Oglesby
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 80 of the GAO Manual for Guidance of Federated Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 10-21-92	SIGNATURE OF AGENCY REPRESENTATIVE Manfred Kaiserkins	TITLE Records Administrator	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>OFFICE OF THE SECRETARY OF DEFENSE</p> <p>103 Common Flights of Fancy Files. These are general policy and administrative files relating directly to the mission of an OSD functional element which are distinct from office administrative and management files.</p> <p>1. 103-01 Policy Files. Documents concerning the general policy of the OSD as related to any component's mission.</p> <p><u>Distribution: Permanent.</u> Cut Off and retire to WMRC when superseded or obsolete; transfer to NARA when 30 years old.</p> <p>2. 103-02 Instruction Files. Documents related to preparing, coordinating, issuing, and interpreting directives, regulatory instructions, and comparable instructional material.. These files accumulate at an unreasonable rate in offices responsible for preparation and interpretation of instructions and include</p> <p>(continued)</p>	NCI-330-77-1209	

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NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLESTANDARD FORM 11.5 (REV. 3-91)
Prescribed by NARA
36 CFR 1228

Figure 7-2

Standard Form 115 (SF 115)
"Request For Records Disposition Authority"


REQUEST TO TRANSFER, APPROVAL, AND RECEIPT OF RECORDS TO NATIONAL ARCHIVES OF THE UNITED STATES (See Instructions on reverse)		LEAVE BLANK		RG																			
		UNIT	DATE RECEIVED	UNIT	DATE RECEIVED																		
		JOB NUMBER		JOB NUMBER																			
1. TYPE OF ACTION		2. TO																					
<input type="checkbox"/> A. OFFER OF UNSCHEDULED RECORDS 1		<input type="checkbox"/> A. RECORDS DISPOSITION DIVISION MAILING ADDRESS: GENERAL SERVICES ADMINISTRATION (NCD) WASHINGTON, DC 20405																					
<input type="checkbox"/> B. TRANSFER OF SCHEDULED RECORDS		<input type="checkbox"/> S. NATIONAL ARCHIVES MAILING ADDRESS: GENERAL SERVICES ADMINISTRATION (NNB) WASHINGTON, DC 20408 <input type="checkbox"/> C. REGIONAL ARCHIVES <input type="checkbox"/> FEDERAL ARCHIVES AND RECORD CENTER GENERAL SERVICES ADMINISTRATION																					
		3. UNIT THAT CREATED THE RECORDS A. AGENCY OR ESTABLISHMENT Department of Defense B. MAJOR SUBDIVISION ASD C41 C. MINOR SUBDIVISION Mutual Supportability Division O. NAME OF UNIT Conundrum Resolution Branch																					
		NAME Boykin Wh elwright		ELP (In- lude area code) 3-6 6-6666																			
4. CURRENT LOCATION OF RECORDS		<input type="checkbox"/> x 15 % E % : % S : % WASHINGTON, DC 20330-1155 <input type="checkbox"/> B. FEDERAL RECORDS CENTER (Identify center and FRC accession no. and IS* location)																					
		EQ ESTED TRANSFER DATE ASAP																					
S. RECORDS DATA																							
A. DESCRIPTION OF RECORDS (Give overall title of records, individual documents, dates, and attach Standard Form 136 if records are now in FRC. Continue on separate sheet of paper, if necessary.) <input type="checkbox"/> SF 135 ATTACHED FY 1929-1989 Physical Duodecimal Information System (NI-330-29-1) <input checked="" type="checkbox"/> SEPARATE SHEET(S) ATTACHED Documentation																							
S. EST. VOLUME		C. ARE RECORDS SUBJECT TO PRIVACY ACT? (If yes, cite agency system number and F.R. volume and page number for most recent notice and attach a copy)		D. SPECIFIC RESTRICTIONS TO BE IMPOSED (Include justification and cite statute or FOI exemption that authorizes such restrictions)																			
cu. ft.	cu. mtr.	DWHS 34499761T3456W9B																					
3 reels																							
E. RECORDS CONTROL APPRAISAL JOS NO.		F. AGENCY REMARKS:																					
NI-330-29-1		Return tapes to originator																					
6. STATEMENT OF AGENCY REPRESENTATIVE																							
The records described above and on the attached pages are hereby offered for deposit with the National Archives of the United States in accordance with 44 U.S.C. 2103. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 41 C.F.R. 101-11.411, 41 C.F.R. 105-61, and such other rules or regulations as may be prescribed by the Administrator of General Services or the Archivist of the United States. Unless specified and justified above, there are no restrictions on the use of these records other than the general and specific record group restrictions on the use of records in the National Archives of the United States that have been published in 41 C.F.R. 105-61.53 or in the Guide to the National Archives of the United States. The Archivist of the United States may destroy, donate, or otherwise dispose of any containers, duplicate records, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation without further consent of this agency. I certify that any restrictions specified by this agency on the use of these records are in conformance with the requirements of 5 U.S.C. 552 and that I am authorized by the head of this agency to act for the agency on matters pertaining to the disposition of agency records.																							
A. SIGNATURE OF AGENCY REPRESENTATIVE		B. TITLE		C. MAILING ADDRESS																			
 Kenneth M. O'Malley		OSD Records Administrator		Washington HQ Services Washington, DC 20301-12.55																			
				DATE Aug. 26, 199																			
7. ACTION TAKEN BY NATIONAL ARCHIVES AND RECORDS SERVICE, GENERAL SERVICES ADMINISTRATION																							
A. ACTION		B. NARS CONCURRENCES																					
<input type="checkbox"/> APPROVED <input type="checkbox"/> DISAPPROVED		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>INITIALS</th> <th>UNIT</th> <th>DATE</th> <th>INITIALS</th> <th>UNIT</th> <th>DATE</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>				INITIALS	UNIT	DATE	INITIALS	UNIT	DATE												
INITIALS	UNIT	DATE	INITIALS	UNIT	DATE																		
		C. FOR NARS USE ONLY																					
O. NARS REMARKS REGARDING DISPOSITION/SHIPPING																							
E. SIGNATURE OF NARS AUTHORIZED REPRESENTATIVE			F. TITLE		G. DATE																		
8. RECORDS RECEIVED NARS DEPOSITORY		A. DATE	B. SIGNATURE		C. TITLE																		

Figure 1' -3
 Standard Form 258 (SF 258) ,
 "Request to Transfer, Approval, and Receipt of
 Records to National Archives of the U.S. "